



PATENT
Attorney Docket No.: 021810-000100US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Dallan W. Quass et al.

Application No.: 09/771,008

Filed: January 26, 2001

For: METHOD FOR LEARNING AND
COMBINING GLOBAL AND LOCAL
REGULARITIES FOR INFORMATION
EXTRACTION AND CLASSIFICATION

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Examiner: Michael B. Holms

Art Unit: 2121

INFORMATION DISCLOSURE STATEMENT
UNDER 37 CFR §1.97 and §1.98

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Sir:

The references cited on attached form PTO/SB/08A and PTO/SB/08B are being called to the attention of the Examiner. Copies of the references are enclosed. It is respectfully requested that the cited references be expressly considered during the prosecution of this application, and the references be made of record therein and appear among the "references cited" on any patent to issue therefrom.

As provided for by 37 CFR §1.97(g) and (h), no inference should be made that the information and references cited are prior art merely because they are in this statement and no representation is being made that a search has been conducted or that this statement encompasses all the possible relevant information.

This IDS is being filed before the mailing date of the final Office Action or Notice of Allowance.

Please charge the IDS fee of \$180 to Deposit Account No. 20-1430. Please deduct any additional fees from, or credit any overpayment to, the above-noted Deposit Account.

Respectfully submitted,

Kenneth R. Allen
Reg. No. 27,301

03/08/2004 SMINASS1 00000091 201430 09771008

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TOWNSEND and TOWNSEND and CREW LLP
Two Embarcadero Center, Eighth Floor
San Francisco, California 94111-3834
Tel: 650-326-2400
Fax: 650-326-2422
KRA:rnh

60148164 v1



Substitute for form 1449A/PTO		Complete if Known			
INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>		Application Number		09/771,008	
		Filing Date		January 26, 2001	
		First Named Inventor		Dallan W. Quass	
		Art Unit		2121	
		Examiner Name		Michael B. Holmes	
Sheet	1	of	2	Attorney Docket Number	021810-000100US

U.S. PATENT DOCUMENTS+					
Examiner Initials*	Cite No. ¹	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document
		Number	Kind Code ² (if known)		
	1	US-6,233,575		05-15-2001	Agrawal et al.
	2	US-6,161,130		12-12-2000	Horvitz et al.
	3	US-5,930,803		07-27-1999	Becker et al.

FOREIGN PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document
		Country Code ³	Number ⁴ Kind Code ⁵ (if known)		

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Examiner Signature	Date Considered
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² Kind Codes of U.S. Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

60148164 v1



Substitute for form 1449B/PTO				Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT					
(use as many sheets as necessary)					
Sheet	2	of	2		
				Application Number	09/771,008
				Filing Date	January 26, 2001
				First Named Inventor	Dallan W. Quass
				Art Unit	2121
				Examiner Name	Michael B. Holms
				Attorney Docket Number	021810-000100US

NON PATENT LITERATURE DOCUMENTS				
Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.		
	4	AGICHITIEN et al. "Snowball: Extracting Relations from Large Plain-Text Collections," Proceedings of the fifth ACM conference on Digital libraries, pp. 85 - 94 (2000).		T ²
	5	BRIN "Extracting Patterns and Relations from the World Wide Web," The Proceedings of the 1998 International Workshop on the Web and Databases, pp. 172 - 183 (1998).		
	6	CHEN et al. "Data Mining: An Overview from a Database Perspective," IEEE Transactions on Knowledge and Data Engineering 8:866-883 (1996).		
	7	COHEN "Recognizing Structure in Web Pages using Similarity Queries," Proceedings of the sixteenth national conference on artificial intelligence and eleventh innovation applications of AI conference on Artificial intelligence and innovative applications of artificial intelligence, pp. 59 - 66 (1999).		
	8	COLLINS et al. "Unsupervised Models for Named Entity Classification," Proceedings of the Joint SIGDAT Conference on Empirical Methods in Natural Language Processing and Very Large Corpora, pp. 189-196 (1999).		
	9	COOLEY et al. "Grouping Web Page References into Transactions for Mining World Wide Web Browsing Patterns," Proceedings of the 1997 IEEE Knowledge and Data Engineering Exchange Workshop (KDEX '97), pp. 2-9 (1997).		
	10	GAROFALAKIS et al "Data Mining and the Web: Past, Present and Future," Proceedings of the ACM CIKM'99 2nd Workshop on Web Information and Data Management (WIDM'99), pp 43-47 (1999).		
	11	KAWANO "Mondou: Web search engine with textual data mining," Proceedings of the IEEE Pacific Rim Conference on Communications, Computers and Signal Processing, pp.402-405 (1997).		
	12	LIN et al. " Extracting Classification Knowledge of Internet Documents with Mining Term Associations: A Semantic Approach," Proceedings of the 21st annual international ACM SIGIR conference on Research and development in information retrieval, pp. 241 - 249 (1998).		
	13	NIGAM et al."Learning to Classify Text from Labeled and Unlabeled Documents," The Proceedings of the Fifteenth National Conference on Artificial Intelligence, pp. 792 - 799 (1998).		
	14	RILOFF et al. "Learning Dictionaries for Information Extraction by Multi-level Bootstrapping," Proceedings of the sixteenth national conference on artificial intelligence and eleventh innovation applications of AI conference on Artificial intelligence and innovative applications of artificial intelligence, pp. 474 - 479 (1999).		

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Examiner Signature		Date Considered	
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.



#5 SP

2121

PTO/SB/21 (08-03)

3-10-04

TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

		Application Number	09/771,008
		Filing Date	January 26, 2001
		First Named Inventor	Dallan W. Quass
		Art Unit	2121
		Examiner Name	Michael B. Holms
Total Number of Pages in This Submission		Attorney Docket Number	021810-000100US

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ENCLOSURES (Check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After-Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): USPTO forms SB08A and SB08B (two pages), copies of 14 cited references, Return Postcard
		Remarks
The Commissioner is authorized to charge any additional fees to Deposit Account 20-1430.		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual	Townsend and Townsend and Crew LLP Kenneth R. Allen	
Signature		
Date	3/11/04	

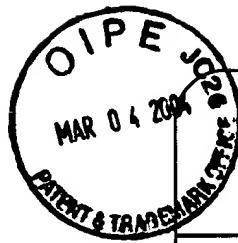
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I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Typed or printed name	Roger Hylton	
Signature		Date
	3/11/04	

60148421 v1



FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 180)

Complete if Known

Application Number	09/771,008
Filing Date	January 26, 2001
First Named Inventor	Dallan W. Quass
Examiner Name	Michael B. Holms
Art Unit	2121
Attorney Docket No.	021810-000100US

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METHOD OF PAYMENT (check all that apply)

Check Credit Card Money Order Other None
 Deposit Account:

Deposit Account Number **20-1430**

Deposit Account Name **Townsend and Townsend and Crew LLP**

The Director is authorized to: (check all that apply)

Charge fee(s) indicated below Credit any overpayments
 Charge any additional fee(s) or any underpayment of fee(s)
 Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code (\$)	Fee Code (\$)		
1001 770	2001 385	Utility filing fee	
1002 340	2002 170	Design filing fee	
1003 530	2003 265	Plant filing fee	
1004 770	2004 385	Reissue filing fee	
1005 160	2005 80	Provisional filing fee	
SUBTOTAL (1)		(\$)	

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Independent Claims	Multiple Dependent	Extra Claims	Fee from below	Fee Paid

Large Entity **Small Entity**

Fee Code (\$)	Fee Code (\$)	Fee Description
1202 18	2202 9	Claims in excess of 20
1201 86	2201 43	Independent claims in excess of 3
1203 290	2203 145	Multiple dependent claim, if not paid
1204 86	2204 43	** Reissue independent claims over original patent
1205 18	2205 9	** Reissue claims in excess of 20 and over original patent
SUBTOTAL (2)		(\$)

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity	Entity	Small Entity	Entity	Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet.	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	.740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Petitions related to provisional applications	
1806	180	1806	180	Submission of Information Disclosure Stmt	180
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	2809	385	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR § 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	
Other fee (specify) _____					

*Reduced by Basic Filing Fee Paid **SUBTOTAL (3)**

(\$180)

SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	Kenneth R. Allen	Registration No. (Attorney/Agent)	27,301	Telephone	650-326-2400
Signature	<i>Kenneth R. Allen</i>			Date	31/104

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